

10/05/00
JC6685 U.S. PTO

PATENT
ATTORNEY DOCKET NO.: 052144-5001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents
Box Patent Application
Washington, D.C. 20231

JC914 U.S. PTO
09/679813
10/05/00

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of:

Inventor: **STEVEN A. LAPIERRE**

For: **A SYSTEM AND METHOD FOR ELECTRONIC TRADING OF ASSETS**

1. This new application is for a:

☒ Utility ☐ Design ☐ Plant

2. Papers enclosed which are required for a filing date:

38 Pages of specification including

1 Title Page

5 Pages of claims and 19 Total Claims - 3 Independent

1 Pages of Abstract

17 Sheets of ☐ FORMAL ☒ INFORMAL drawings containing

17 Figures (Figs. 1-17)

☐ The enclosed drawing(s) are photograph(s), and there is also
attached a PETITION TO ACCEPT PHOTOGRAPH(S) AS
DRAWING(S)

3. Combined Declaration and Power of Attorney

☐ Enclosed - and is executed by all inventors☒ Not Enclosed

This application is being filed under the provisions of 37 C.F.R. §1.53(d).

Applicant(s) await notification from the Patent and Trademark Office of the time set for filing the Declaration and paying the filing fees.

4. Language

☒ English☐ Non-English

This application is being filed in accordance with 37 C.F.R. §1.52(d) and §608.01 of the MPEP. Applicant(s) await notification from the Patent and Trademark Office of the time set for filing the verified English translation and the processing fee.

5. Assignment

☐ is attached and Assignment of the invention is to☐ also enclosed is the Form PTO-1595, Recordation Form Cover Sheet.☒ will be filed at a later date

6. Certified Copy

Application(s) from which priority is claimed are:

Country	Application No.	Filed

Certified copy(ies) is/are

☐

attached

☐

will follow

7. Fee Calculation

CLAIMS AS FILED				
	Number Filed	Number Extra	at Rate of	Basic Fee Utility \$710.00 Design \$320.00
Total Claims (37 CFR 1.16(c))	19 - 20	0	x \$ 18.00 +	\$ 0.00
Independent Claims (37 CFR 1.16(b))	3 - 3	0	x \$ 80.00 +	0.00
Multiple dependent claim(s), if any (37 CFR 1.16(d))			\$270.00 +	0.00
SUBTOTAL =				710.00
Reduction by 1/2 for filing by a small entity-				
TOTAL FILING FEE =				\$ 710.00

8. Small Entity Statement(s)

- ☐ Verified Statement(s) that this is a filing by a small entity under 37 C.F.R. §1.9 and §1.27 is(are) attached.

9. Fee Payment

- ☐ The Commissioner is hereby authorized to charge the filing fee to Deposit Account No. 50-0310 in the amount of \$

- ☒ No fee is being submitted at this time.

Except for issue fees payable under 37 C.F.R. §1.18, the Commissioner is hereby authorized to charge any additional fees during the entire pendency of this application including fees due under 37 CFR § 1.16 and § 1.17 which may be required, or credit any overpayment to Deposit Account No. 50-0310. This paragraph is intended to be a **CONSTRUCTIVE PETITION FOR EXTENSION OF TIME** in accordance with 37 C.F.R. §1.136(a)(3).

10. Additional papers enclosed:

- ☐ Preliminary Amendment
☐ Information Disclosure Statement
☐ Form PTO-1449
☐ Citations (___ documents listed)

Please accord an application number and filing date.

Respectfully submitted,

MORGAN, LEWIS & BOCKIUS LLP

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Arlene P. Neal
Reg. No. 43,828

Dated: October 5, 2000

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